

29 August 1974

MEMORANDUM FOR: THE RECORD

SUBJECT : USC/FAR (External Research) Meeting,
27 August 1974

This memorandum is to report the major developments at the 27 August 1974 plenary meeting, held at the Department of State. Comments will follow the order of the attached agenda outline (Attachment A).

I. Mr. E. Raymond Platig, USC/FAR Executive Secretary and Director of External Research, introduced the new USC/FAR Chairman, Mr. William G. Hyland, Director of State/INR. Mr. Hyland, of course, succeeds Mr. Ray Cline, who retired from Government Service in November 1973. Mr. Hyland mentioned in his general opening remarks that Mr. George Denney -- an active USC/FAR participant in past years -- will be retiring shortly from INR.

II. There was general agreement with State's draft of the Fourth USC/FAR Plan for FY 75-76.

a. Mr. Hyland requested the CIA representative to respond to the Committee concerning the query made of it earlier by Mr. Platig (August 9, 1974 memo) as to whether CIA's submission could be declassified for inclusion in the published Fourth Plan. In response, I made available to the reps Attachment B, which is an unclassified (as per the A/DDI's guidance) updated summary of CIA's external research efforts for FYs 74-75. (No data for a projection on FY-76 was available in CIA for inclusion in this summary) Mr. Hyland was pleased with this submission and expressed the hope that CIA reporting next year will encompass three fiscal years -- as do Member Agency submissions -- thereby

making CIA data more suitable for integration into the USC/FAR system and published Plans.

b. Other Observer Agencies, particularly the National Science Foundation, were encouraged to follow the CIA and Treasury Department examples by submitting unclassified statements about their external research programs.

c. The AID representative recommended that the Executive Secretary improve and refine existing research categories and definitions so that some of the currently reported projects of minimal relevance to USC/FAR purposes would be filtered out in future Agency reporting. Mr. Platig agreed to study this.

d. A draft INTRODUCTION to the Fourth Plan was distributed and will, if approved, be included with the Fourth Plan when it is submitted to the President in late September. This document (Attachment C) provides the reader with an informative overview of the USC/FAR mechanism in terms of its goals and objectives. Comments or changes to this were requested by COB Thursday, 29 August 1974. I have none to submit.

III. As a separate matter for consideration by the Committee, Mr. Hyland reported that State Department has recently received numerous contacts from academics in the China field, stressing the dire financial situation of several important China studies programs both in the U.S. and abroad. For example, the Taipei Language School, according to these contacts, will cease operation unless financially assisted soon. Mr. Hyland indicated that USC/FAR Agencies might well have a vested interest in keeping these China programs and research or training institutions active, in that their research products, graduates and advanced scholars do provide government with good talent and important insights in the China field. Further, he suggested that USC/FAR monies might be better spent creating a funding pool for relief of these programs and institutions, rather than being channeled into certain new government contracts, or even in support of ongoing ones which provide often limited returns. Rep responses were mixed: DOD reported that this would move beyond their Agency's strict definition of

research which allows support only for categories of research and not for research institutions. Others, including CIA, indicated initial interest in the suggestion. (There would, of course, be obvious obstacles to direct CIA participation in either a foreign or domestic academic program or institution) The matter will be considered in detail at a meeting of the Consultative Group on China to be held on September 24, 1974.

IV. In sum, there were indications during the meeting that the new Chairman is not entirely satisfied with the present orientation of the USC/FAR system. He stressed the need to re-examine the system and make sure that USC/FAR research objectives are directly in tune with actual government needs.



Asian Communist Staff, PR


Attachments: As stated

cc: Ch/ACS/PR

DD/PR

✓D/PR

CIA Reps (Consultative Groups, USC/FAR)

 (Info)

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ATT. A

USC/FAR Meeting

August 27, 1974; 2:30 p.m.

New State: Room 1107

AGENDA

- I. WELCOME AND OPENING REMARKS BY CHAIRMAN
- II. APPROVAL OF THE FOURTH USC/FAR PLAN
 - A. Introduction of this Item
 - B. Consideration of Each Part in Reverse Order
 - 1. PART III -- consolidation and analysis of agency submissions.
 - 2. PART II -- status of USC/FAR Research Objectives.
 - 3. PART I -- summary.
 - 4. APPENDIX A-- brief statements about programs of Treasury, NSC Staff, CIA.
 - C. Consideration of draft INTRODUCTION
 - D. Formal Approval for Transmission to the President
- III. OTHER BUSINESS
- IV. CLOSING REMARKS BY CHAIRMAN

PARTICIPANTS FOR THE USC/FAR MEETING FOR AUGUST 27, 1974
Room 1107 - 2:30 - 4:00 pm

STATE

Mr. William G. Hyland
Mr. George C. Denney

DEFENSE

Col. Henry L. Taylor

AID

Dr. Willis C. Schaefer

ACDA

Dr. Lee Niemela

USIA

Mr. Leo Crespi

NSC STAFF

Mr. Marvin L. Smith

TREASURY

Dr. James Reese

COMMERCE

Mr. Menes

HEW

Ms. Linda Vogel
Ms. Ann Merzel

OMB (Co-Rep.)

Mr. William Fee

OMB (Co-Rep.)

Mr. Robert E. Howard

CIA

NSF (Co-Rep.)

NSF (Co-Rep.)

USC/FAR Exec. Sec. (STATE)

Dr. Lyon

Dr. Howard Hines

Dr. E. Raymond Platig

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INTRODUCTION:

THE USC/FAR, PURPOSES AND PROCESS

ORIGINS

The USC/FAR has its origins in a National Security Council Decision Memorandum (NSDM-98) dated February 9, 1971. In that document the President directed the NSC Under Secretaries Committee (USC) to assume responsibility for assuring interagency coordination of the external foreign affairs research sponsored by various departments and agencies of the Executive Branch.

To comply with this directive, the USC established its Subcommittee on Foreign Affairs Research (USC/FAR) and published Terms of Reference for the Subcommittee (see Appendix C).

ACTIVITIES AND PURPOSES

In NSDM-98, the President charged the USC with the annual preparation of a foreign affairs consolidated research plan. The plan was to have a number of features. It was to:

- cover a multi-year period;
- state group-wide and individual agency research goals and priorities;
- utilize regional and functional planning categories, indicating agency responsibilities.

The President's directive made clear that the purposes to be served by the consolidated research plan and other interagency coordination activities are four in number:

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- to avoid duplication of effort;
- to suggest and facilitate joint funding of particular activities;
- to assure maximum interagency utility of the research product in terms of both content and availability;
- to enhance the quality of the research product.

This Fourth USC/FAR Plan incorporates all of the features directed by the President and serves a number of the purposes. Purposes not served directly or fully by the Plan are pursued through one or more of the USC/FAR's other activities that have evolved under its Terms of Reference. The activities now in place have been designed as mutually supportive elements of an integrated system for the efficient pursuit of the Presidentially determined purposes.

This system, still in need of further development and refinement, is depicted in the diagram on the following page. What follows is a description of how each of the four purposes specified by the President in NSDM-98 is currently being pursued through the pertinent elements of the system.

AVOIDANCE OF DUPLICATION

Annual preparation of the USC/FAR Consolidated Research Plan is the starting point for avoiding duplication of effort between and among the programs of the various departments and agencies. In their submissions to the Plan, participating agencies alert one another to the likely magnitudes and substantive emphases of their external research efforts over the forthcoming two years. A multi-faceted, computer-assisted analysis of

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these submissions (see PART III) makes it possible to identify areas in which duplication might take place if each agency were to proceed independently.

The analysis in PART III of the Plan is so constructed that it highlights matters of particular interest to each of the USC/FAR's nine specialized consultative Groups. With the Plan in hand, each Group can meet to exchange information concerning prospective projects and activities and thus avoid duplication at the critical pre-contract stage when project design is in an advanced but not final state.

Avoiding duplication between new projects is only part of the problem. Equally to be desired is avoidance of duplication between new and current projects. To this end the Office of the USC/FAR's Executive Secretary prepares and publishes annually an Inventory of Research Projects Completed and in Progress during the preceding fiscal year. The Inventory covering FY-1973 provides information on 678 projects supported by 20 different U.S. Government agencies.

The annual Inventory has been designed to facilitate USC/FAR activities. It is organized in six volumes (five unclassified volumes--American Republics; East Asia; Europe; Near East, South Asia and Africa; and International Relations--and one classified volume) to make it of maximum use to the nine USC/FAR Consultative Groups, as well as to other users in the Government. (A total of over 5,350 copies of the FY-1973 Inventory volumes were distributed. Being the first computer-assisted version, this issue of the Inventory had certain limitations and thus only a few copies were distributed to the private sector on request. However, these limitations have been overcome and it is expected that the unclassified

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volumes of the Inventory, covering FY-1974 projects, will be available for purchase by interested parties in the private sector.)

The Inventory has also been designed to incorporate the same system for weighting the regional, functional and purpose characteristics of research as is used in the USC/FAR Plan. This will ultimately provide two important capabilities. First, the same type of multi-faceted, computer-assisted analysis now made in PART III of the Plan can be made on all or any selection of the projects in the Inventory in order to profile what was actually contracted for in a particular time period. Among other things, this will provide those agencies participating in the USC/FAR planning process with clearer knowledge of what research each other agency is in fact supporting. Second, Government officers will be able to request special lists of current projects dealing with quite specific subjects. In the hands of research managers developing new projects, these lists will make avoidance of duplication and more positive coordination more timely and therefore more effective.

The USC/FAR system is based upon the premise that avoidance of duplication is a minimal form of coordination; it may prevent waste by some standards, but it does not assure wise expenditure. Indeed, when dealing with the frontiers of knowledge in a field as complex as foreign affairs, wise expenditure may at times call for both deliberate replication and planned multiple approaches that are at least overlapping if not duplicative. Such deliberate and planned activities cannot be brought off, however, unless there are more positive forms of coordination. These forms are required to advance the additional USC/FAR purposes discussed below.

JOINT FUNDING

In the USC/FAR system, joint-funding of research projects and activities also originates in the planning process. PART III of the Plan alerts agencies to common and overlapping substantive research interests. In addition, the analysis in PART III makes it possible to state group-wide research goals and priorities (see PART II). These "USC/FAR Research Objectives" help delineate especially likely areas for jointly funded activities.

Action in pursuit of a Research Objective is ordinarily assigned to one of the USC/FAR's nine specialized Consultative Groups. Here matters of common interest can be looked at more closely and proposals for joint-funding developed. PART II indicates that this has indeed happened in some of the Consultative Groups as they have sought to advance the Research Objectives assigned to them. There are also indications that the prospects for future jointly funded activities are bright in certain cases.

Joint funding also emerges in other ways related to but outside the formal meetings of the Consultative Groups. Indeed, it was anticipated when these Groups were established that their more important contribution was likely to come through establishing living links among agency research officers, rather than through formal proceedings. Informal consultations through the living system are difficult to track, but there is solid evidence--at least in the recent experience of the Department of State--that they are productive of jointly funded activities. In FY-1974, for example, five other departments and agencies joined with State in funding four projects costing a total of \$257,694, of which State contributed \$134,719.

Joint-funding is not the only positive type of coordination to come out of the USC/FAR's consultative network. Though unanticipated in the language of NSDM-98, there is developing what might be called "coordinate funding." This also is difficult to track throughout the system. But it is evidenced in a number of recent cases involving the Departments of State and Defense in which each simultaneously funded separate contracts with the same institution, contracts designed for the fuller exploration of topics of mutual interest.

Thus joint-funded and other collaborative funding arrangements appear to be increasing in number. With full automation of the USC/FAR Inventory of current projects, and with increasingly full and timely project reporting by the agencies, it will be possible to provide a better measure of joint-funding.

INTER-AGENCY UTILITY: CONTENT

Joint funding provides readily available evidence that the end product of a research activity is expected to be of substantive utility to two or more agencies. Coordinated funding, though not as easily detected, also provides evidence of this expectation. The USC/FAR Consultative Group network results, however, in still other, less visible arrangements that advance the interagency utility of research activities.

Joint project design is one type of arrangement. It usually takes place when, in the course of a Consultative Group meeting, an officer from one agency learns from an officer in another that the latter is developing a particular project in the substance of which the former has an interest. The informal consultative network then enters the picture. The two (or three or more) officers may consult more or less intensely as

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the project design takes shape. They may involve colleagues from their respective agencies and convene meetings to consider the research design. They may try to arrange joint or coordinated funding, but whether or not they do (and, if they do, whether or not they succeed), the result is a project the substance of which better serves the needs of at least two agencies, rather than just the interests of the originating agency.

Joint project monitoring is another type arrangement that advances the interagency utility of research activities. Joint monitoring may be the natural follow-up to joint design; it almost invariably is to joint or coordinated funding. But joint monitoring may also arise in the absence of collaborative design and funding arrangements. For example, through a Consultative Group meeting (or through the USC/FAR Plan, or through scanning the Inventory of current projects, or through more informal contacts) an officer in one agency may learn of a substantively interesting project sponsored by another agency. When that happens, he usually can, either directly or by engaging the assistance of the office of the USC/FAR Executive Secretary, establish a closer association with the project. At a minimum he can arrange to receive a copy of the product as soon as it becomes available--often in draft. At a maximum, he may be invited to attend meetings with the contractor or grantee convened by the sponsoring agency. Thus, to the extent feasible, he may help shape the project so the end product is of greater utility to his agency. If that is not possible, he may still learn a great deal from the project while it is in process and may develop ideas for coordinate or follow-on projects for possible funding by his own agency.

Joint participation in research conferences, colloquia, seminars, etc., is another way the USC/FAR agencies are enhancing the interagency utility of the content of their research activities. Most agencies convene such conferences with outside experts for a variety of purposes. These range from the design or evaluation of research activities to the examination of important policy-related issues of more-or-less urgency. The consultative network and information exchange activities of the USC/FAR make it progressively easier for an agency convening or otherwise supporting a symposium to identify those officers in other agencies who can contribute to or profit from the conference.

State Department experience in FY-1974 is suggestive in this regard. State convened 40 colloquia of various sizes that year. With the exception of 5 small seminars, every one involved participants from at least one other agency; 15 involved participants from five or more other agencies. One particularly large and complex conference, on the implications of direct broadcast satellites, was designed with the collaboration of officers from 10 other agencies.

INTERAGENCY UTILITY: AVAILABILITY

The interagency utility of the end products of research projects is also advanced by making those products available to interested readers in agencies other than the sponsoring one. It is a natural result of collaborative funding, design, monitoring and conferencing activities that end products are more widely disseminated. Beyond that, most agencies habitually make a selective initial distribution in Government of their external research products.

Utility, however, is not a one-time, limited thing. Broader initial utilization, and unanticipated secondary utilizations, can be achieved by making it easier for Government officers to identify and retrieve research products as they become available and as later needs for them become apparent. Indeed, the USC/FAR Terms of Reference charge the Executive Secretary to assure "that copies of all research reports resulting from agency projects are accessioned by the Foreign Affairs Research Documentation Center and member agencies alerted to their availability."

In response to this charge, the office of the USC/FAR Executive Secretary has put additional emphasis upon accessioning Government-supported studies. Whereas in FY-1972, 14% (230) of the 1648 external research reports accessioned by the Center were Government-supported, in FY-1974 22% (499) of the 2235 reports were of that type. The Center, which retires papers after five years, now has 11,500 items for loan to Government readers on request. Over the last three years, an average of almost 10,000 loan requests have been serviced.

To inform users of the Center about its holdings, the Center publishes and disseminates 1300 copies of its monthly accessions list—Papers Available. The Center has also instituted a new annual bibliography of Government-supported research called Studies in Foreign Affairs. This classified report is made available on a "need to know" basis. The Third issue, covering the fiscal years 1972-74, will be distributed in September, 1974.

In order for the Center to reach all potential users and provide them with more timely and flexible service, it needs to suffer the pains of automation before it can achieve the benefits. It is hoped that a feasible plan for automating the Center can be developed in the course of the next year. The thought is to use an expanded version of the same system of categories now used in the USC/FAR Plan and Inventory for characterizing the contents of research reports newly accessioned by the Center. The Center would then be able to automate the preparation of its accessions lists and bibliographies. It would also be able to receive and respond in a timely fashion to requests from users for tailored searches of its holdings, thereby enhancing and extending the utility of research products. Present resource constraints, however, make it necessary to temper any hope for rapid movement in this direction.

ENHANCEMENT OF QUALITY

Quality control of research products is a necessary and inescapable responsibility of the agency managing a particular external research project. There is little the USC/FAR can do directly to advance this purpose. Experience has demonstrated, however, that there are a number of ways in which this can be done indirectly.

Experience with jointly funded projects suggests that management responsibility for such a project should be centered in that participating agency with the most profound substantive concern and expertise in the subject matter, provided it also has experienced research management talent to devote to the task.

An important part of quality control consists of wise selection of external research performers. The USC/FAR consultative network facilitates the informal exchange among agency research managers of both their experience with various research institutions and individuals and their management techniques. The joint monitoring of projects and joint conferencing give agency research managers direct exposure to a wider range of performers in action than would otherwise be the case. Current project information available through the USC/FAR Inventory, and research products made available by the Documentation Center, help agency research managers assess the capabilities and performance of research contractors and grantees.

In the final analysis, however, quality is in the eye of the beholder. A sponsoring agency need not insist on a Cyclopean role in this regard, but clearly its role is inescapably large and central.

Beyond the matters already mentioned, there is one other contribution the USC/FAR can make that indirectly serves to enhance quality. That is to share as much as possible the Government's foreign affairs external research products and concerns with the private sector--and especially with the academic community.

IMPROVEMENT OF GOVERNMENT-ACADEMIC RELATIONS

The language of NSDM-98 does not specifically direct improvement of Government-academic relations in the field of foreign affairs research. However, such a purpose was among the considerations leading to the preparation of NSDM-98; the USC/FAR Terms of Reference specifically charge the Executive-Secretary to disseminate relevant information and documents to the private research community "to the maximum extent consistent with the national security" and "under policies approved by the group." The USC/FAR is further charged to take other appropriate steps "to establish mutual trust and good working relations among the governmental, non-governmental, intergovernmental, and foreign research sectors."

The USC/FAR system has been designed and is progressively being developed to serve this purpose. A few specifics illustrate what is currently being done:

- The office of the Executive Secretary publishes a quarterly newsletter--FAR Horizons--on behalf of the USC/FAR. It is widely distributed throughout the Government and is available on a subscription basis from the GPO; at latest count there were 750 paid subscribers. (see the inside back cover of this Fourth Plan for additional information about this periodical.)

-- Individual scholars, professional associations and research institutions have been generous in responding to requests from the USC/FAR Documentation Center for research papers that can be accessioned and loaned to Government readers. In return, the Documentation Center sent copies of its monthly accessions list, Papers Available, to those in the private sector who requested that service. These lists serve the purpose of alerting scholars to new research products produced by their colleagues under either Government or private auspices. The Center lends to scholars who request them copies of unclassified research products supported by the Department of State. It also facilitates with the agencies concerned requests for the loan of copies of studies they have sponsored. It does not, however, service requests from the private sector for papers produced under private auspices.

By late 1973 requests from the private sector to receive Papers Available on a regular basis became so numerous that, regrettably, this publication had to be put on sale through the GPO. Since January, 1974, over 225 paid subscriptions have been entered. (See the inside back cover of this Fourth Plan for additional information about Papers Available.)

-- Plans are now being developed to make it possible for interested parties in the private sector to purchase copies of the 5 unclassified volumes of the USC/FAR Inventory covering FY-1974 projects. It is expected that this practice will continue in ensuing years since there is a lively interest in the private sector concerning the projects actually funded by the agencies of Government.

-- Several Thousand copies of the Third USC/FAR Consolidated Plan for Foreign Affairs Research FY-1974-75 were distributed to scholars and others in the private sector, many with the assistance of the Department of State's Bureau of Public Affairs. News about and excerpts from the plan were carried in a number of professional journals and newsletters. Scores of scholars have written to the office of the Executive Secretary, and no doubt to others in the USC/FAR network, offering comments, providing information on their capabilities and current research interests, and inquiring about various aspects of the Government's support for foreign affairs research.

- The Executive Secretary has met with almost every group of academic participants in the Department of State's series of "Scholar-Diplomat Seminars" to brief them on the USC/FAR and solicit their ideas. By July 1974, over 1,000 younger scholars had participated in these seminars.
- Leading scholars in the China studies field, concerned as are their colleagues with the dwindling support for research and training in that field, have sought the assistance of the Chairman of the USC/FAR. At his direction, arrangements have been made to convene a Special USC/FAR Consultative Group on China to consider a range of funding needs in this field. (For additional information on USC/FAR activities to facilitate Government-academic sharing of China data see PART II -- Objective II-2 -- of this Fourth Plan.)

Evidence of the impact of these and other USC/FAR activities on the state of Government-academic relations is scattered and difficult to assess. Three things, however, seem clear: (1) The channels and volume of communication have expanded; (2) There is no visible evidence of negative impact; (3) The dialogue among Government and academic professionals with a shared interest in bringing research based knowledge to the understanding and conduct of foreign affairs is, despite the variety of disciplinary, ideological and institutional perspectives involved, proceeding on a professional level.

SOME TASKS AHEAD

The USC/FAR system is in place but far from perfect. There follows a list of some of the more important and urgent tasks that need to be accomplished if the USC/FAR is to continually and more fully serve the purposes of its Presidential directive.

1. More agencies need to participate in the USC/FAR planning process. In the Fourth Plan, both the Department of the Treasury and the Central

Intelligence Agency have for the first time made partial submissions (see Appendix A). They are prepared to make full submissions during next year's planning cycle so that the data they supply can be consolidated and analyzed in PART III along with that of the other fully participating agencies. In addition, the Executive Secretary should be prepared to contact other agencies whose participation is desirable and encourage them to make partial if not complete submissions for next years cycle.

2. Agency submission of current project information for inclusion in the Inventory needs to be more timely and complete if that part of the USC/FAR system is to make its full contribution to sensible coordination. Few agencies submit such information within the desired ten days after signature of a project contract or grant. Perhaps when the automated Inventory demonstrates its versatility and quick response time, agencies will have greater incentive to abide by the requirement for quick submissions -- only by doing so will they be assured of adequately informative quick responses. In the interim, the office of the Executive Secretary should continue to request and encourage timely submissions.

3. The performance of USC/FAR Consultative Groups is uneven. Some have met with sufficient frequency that a pertinent informal consultative network has emerged and eliminated the need for frequent meetings in the future. Others need to meet more frequently in order to forge a more reliable informal consultative network. Similarly, some Consultative Groups have acted more vigorously than have others in pursuit of assigned USC/FAR Research Objectives. In part, this is a function of

the turn-over of personnel -- a practice that characterizes many personnel systems in the foreign affairs and military agencies and requires extra effort to sustain a living consultative system.

4. The Foreign Affairs Research Documentation Center will be able to perform much more effectively once it is automated. The office of the Executive Secretary should be prepared to move on this front as rapidly as existing resource constraints permit or can be removed.

5. All agencies could facilitate the work of the USC/FAR Documentation Center by setting up internal procedures to assure the timely, voluntary deposit of their external research products in the Center. The staff of the Center, which must now expend time tracking down completed studies, should be prepared to devote equal time to assisting participating agencies trying to develop more efficient procedures.

6. Many participating agencies could usefully take a new look at the definition of the USC/FAR "research universe" (see Appendix B) and try harder to tailor to that universe the scope of their USC/FAR planning and Inventory submissions and of their Documentation Center deposits. The office of the Executive Secretary should be prepared to offer assistance to agencies on request.

7. As the USC/FAR progressively develops a more coherent picture of Government-supported research in the broad field of foreign affairs, many in and out of Government feel more acutely the need for a more coherent picture of those foreign affairs research programs, plans, projects and products produced in the private sector with the aid of nongovernmental funds. Such a picture of the private-research enterprise

would clearly be of value to the USC/FAR agencies. It is likely that it would be of even greater value to the private sector itself. The Executive Secretary should be prepared to discuss with and receive from elements in the private sector proposals for systems that would yield the needed picture, and to bring promising proposals to the attention of appropriate agencies for possible funding assistance.

8. Some USC/FAR and other Government agencies are aware and concerned that there has been over the past several years a serious decline of funding, not only governmental but also private, for academic research on foreign areas and international relations. One major Government-academic effort is now underway to assess the dimensions of this, as well as other aspects of need in the broader field of international education. (This effort is a joint undertaking of the State Department's Bureau of Educational and Cultural Affairs and the American Council on Education; it involves a broad range of Government and private participants.) The USC/FAR Chairman believes that the foreign affairs, military, economic, scientific, educational and other agencies of the US Government have both an interest and a responsibility to assure that the academic community can sustain a vigorous, independent, diverse and creative capability for quality research on all aspects of foreign affairs. To this end, he is prepared to provide such assistance as lies within his mandate and capabilities.